

# 2019 Federal Transportation Improvement Program (FTIP) Development Guidance

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This guidance is not intended to supersede federal regulations. FTIPs must comply with all applicable metropolitan transportation planning regulations per Title 23 Code of Federal Regulations Part 450.

## I. Update to the California State Statutes

### Government Code 65074

Caltrans is required by state statute to submit the Federal Statewide Transportation Improvement Program (FSTIP) to Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) by December 1 of each even-numbered year.

### Streets and Highways Codes 182.6 and 182.7

MPOs are required to submit FTIPs to Caltrans by October 1 of each even-numbered year.

## II. Timeline

- a) Submit two copies of the draft 2017 FTIP to Caltrans at the start of the public review period, but not later than September 3, 2018. Except for the signed board resolution, all items listed in the 2019 FTIP Checklist must be included.
- b) Submit the final FTIP to Caltrans by October 1, 2018. The cover letter shall be addressed to:  
Mr. Bruce De Terra  
Chief, Division of Transportation Programming  
Attn: Muhaned Aljabiry

Only FTIPs received by the deadline will be included in the draft 2019 FSTIP to the FHWA and FTA. Caltrans will not process late FTIPs until the 2019 FSTIP is approved, which is expected on 12/17/2018. Late FTIPs will be posted separately for 14-days to comply with the FSTIP's Public Participation Plan (PPP).

### Amendments and/or Administrative Modifications

Any amendment and/or administrative modification to the board-adopted FTIP received before October 1, 2018, will be included as part of the base 2019 FSTIP. MPOs with delegated authority from Caltrans may only approve administrative modifications to the 2017 FTIP, but not to the 2019 FSTIP during this time. Amendments and/or administrative modifications not received by October 1, 2018, will be processed after the 2019 FSTIP is approved.

## III. Maintenance and Operations Costs

Include in the FTIP's financial plan an analysis of revenues dedicated for maintaining and operating the federal-aid system, including the basis for calculation. Address any anticipated shortfall in available revenues and describe plans to deal with the gap.

#### **IV. Performance-Based Planning Requirements for RTP and FTIP**

Federal regulations require States and MPOs take a performance based approach to planning and programming, and also requires States, MPOs and transit operators to establish targets in key national performance areas. Title 23 CFR 450.306 requires MPOs to establish performance targets in their metropolitan transportation planning process. The FTIP shall describe efforts toward achieving the targets, located here:

<https://www.federalregister.gov/documents/2016/05/27/2016-11964/statewide-and-nonmetropolitan-transportation-planning-metropolitan-transportation-planning>

#### **V. Satisfying Public Participation Requirement for the Development of the Program of Projects (POP) for FTA 5307 Program through FTIP Development**

The FTIP's public involvement process can be used to satisfy the public participation requirement for the development of the POP for the FTA 5307 program. In such case, the transit recipient shall coordinate with the MPO, and ensure the public knows that it is using the public participation plan associated with the FTIP to satisfy the public hearing requirements for the POP. MPO must ensure that the FTIP explicitly states that public involvement activities and time established for public review and comment for the FTIP satisfy the POP requirements of the FTA 5307 Program.

#### **VI. Project Listings**

- a) Verify planning studies (non-transportation capital) are included in the Overall Work Program. They do not need to be listed in the FTIP.
- b) Program funding for each phase of a project in the year of obligation (E-76).
- c) Include Grouped Project Listing: See the guidance for grouping projects in air quality nonattainment or maintenance areas for further information, located here:

[http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/grouped\\_pjt\\_listing\\_s.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/grouped_pjt_listing_s.pdf)

For MPO areas and Rural non-MPO counties that are classified as air quality attainment (SBCAG, AMBAG, and Shasta), refer to 23CFR771.117 (c) and (d) for additional information on projects that can be classified as "Categorical Exception (CE)." For those areas, projects that are not considered regionally significant and qualify as CE may be grouped together. MPOs are responsible for determining if projects are eligible for inclusion in the grouped project listing. FTA-funded projects can be grouped, provided the detailed project list is made available to the FTA and public. The detailed project list must be included in the FTIP (and in the FTIP amendment) when it is circulated for public review.

- d) Include projects in the FTIP that need environmental approval, even if no funds are identified within the four years of the FTIP. Reference the Regional Transportation Plan (RTP), the project completion date, and add the following language to the project description:

"Project included in the FTIP for environmental approval."

- e) Provide the following information for each project:
  - 1) Sufficient description (i.e., type of work, termini, and length) to identify the

project. (See the section below for more information.)

- 2) Total project cost based on the latest estimates which may extend beyond the four years of the FTIP. Cost estimates must use an inflation rate to reflect the “year of expenditure dollars” based on reasonable financial principals and assumptions, and be included in the financial plan. Projects in air quality nonattainment and maintenance areas can be included in the first two years of the FTIP and FSTIP only if funds are "available" or “committed."
- 3) The amount of federal funds proposed to be obligated during each program year (for the first year, this includes the proposed category of federal funds and source(s) of non-federal funds. For the second, third, and fourth years, this includes the likely category or possible categories of federal funds and source(s) of non-federal funds).
- 4) Required non-federal matching funds.
- 5) Implementing agency.
- 6) Corresponding RTP number or RTP page number. MPOs that use CTIPS to develop their FTIPs may use the “Project Title, Location & Description” field or the “MPO Comments” field to include the RTP information.

## Highway Projects (State Highways/Local Roads) Description Format

Description Formula: [(Location :) + (Limits) + (;) + (Improvement)]	
Location:	<p>The nearest city or significant town illustrated on state highway maps. If the project is located more than five miles away from the city or town, then prefix the city name with “East, West, North, or South of.”</p> <p>f) <i>In Bakersfield:</i> g) <i>South of Bakersfield</i></p>
Limits:	<p>Project limits can be stated as from one road to another. Other boundary landmarks, such as rivers, creeks, state parks, freeway overcrossings, can be used in-lieu of streets or roads.</p> <p>h) <i>Between 1<sup>st</sup> Street and Pine Boulevard;</i> i) <i>North of Avenal Creed to South of Route 33;</i> j) <i>At Rock Creek Bridge;</i></p>
Improvement:	<p>Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity).</p> <ul style="list-style-type: none"> <li>• <i>Rehabilitate roadway.</i></li> <li>• <i>Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.</i></li> <li>• <i>Construct left turn lane.</i></li> </ul>
Example: In Bakersfield: Between 1 <sup>st</sup> Street and Pine Boulevard; rehabilitate roadway.	

## Transit Project Description Format

Description Formula: [(Location :) + (Limits) + (;) + (Improvement)]	
Location:	<p>For work at spot locations for large (statewide) transit agencies: The nearest city or significant town illustrated on state highway maps. If the project is located more than five miles away from the city or town, then prefix the city name with “East, West, North, or South of.”</p> <p>k) <i>In Bakersfield:</i> l) <i>North of Bakersfield:</i> Otherwise: Skip this step.</p>
Limits:	For work at spot locations (all agencies):

	<p>Name of the station, description of facility, name the rail corridor for the project etc.</p> <p>m) <i>Lafayette BART Station;</i></p> <p>n) <i>The Daly City Yard, adjacent to the Coloma Station;</i></p> <p>o) <i>San Joaquin Corridor;</i></p> <p>Otherwise: Skip this step.</p>
Improvement:	<p>Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity.</p> <ul style="list-style-type: none"> <li>• <i>Construct a station.</i></li> <li>• <i>Construct a child care facility.</i></li> <li>• <i>Track and signal improvements.</i></li> </ul> <p>Projects that apply to entire transit agency jurisdiction – describe activity</p> <ul style="list-style-type: none"> <li>• <i>Purchase of 59 buses -- 12 MCI's and 47 Standard 40 ft buses (note if expansion or replacement).</i></li> <li>• <i>Para-transit van leasing.</i></li> <li>• <i>Operating assistance for Sacramento Regional Transit.</i></li> </ul>
Example:	<p>North of Bakersfield: San Joaquin Corridor – Track and signal improvements.</p> <p>Lafayette BART Station; construct a child care facility.</p> <p>Operating assistance for Sacramento Regional Transit.</p>

## VII. Use of Toll Credits

Federal-aid highway projects typically require sponsors to provide non-federal funds as match to federal funds. However, at the MPO's discretion, a project may be funded without the required non-federal match using Toll Credit (TC) provisions. The non-federal share match requirement can be met by applying an equal amount of TCs and therefore *allow a project to be funded at 100% federal* for federally participating costs. TCs can be used for the four-year duration of the 2019 FTIPs.

The current Caltrans policy prohibits the use of TCs for the STIP (IIP), SHOPP, and Highway Maintenance Program projects. TCs do not generate additional federal funding and are limited to the non-federal match required for the federal apportionments available in any given year.

TCs may be used for the following programs:

STIP	TCs may be used only for the RIP projects	Eligible federal funds (e.g. CMAQ, RSTP)
HBP – Off System Projects	TCs are to be used for the “Off federal aid system” projects	HBP
HBP – On System projects	TCs can be used for the “On federal aid system” projects using other eligible federal funds.	Eligible federal funds (e.g. CMAQ, RSTP)
HSIP	TCs can be used for projects from the local HSIP using other eligible federal funds, except for certain countermeasures eligible to use HSIP funds (**See Local Assistance Procedures Manual for more information)	Eligible federal funds (e.g. CMAQ, RSTP)
*CMAQ and RSTP	Projects may be programmed with TCs at MPO's discretion	CMAQ, RSTP
FTA – Funded Projects	Projects funded from the formula programs are eligible to receive TCs. Below are the eligible programs <ul style="list-style-type: none"> <li>• 5307 including CMAQ and RSTP FTA transfer projects</li> <li>• 5309</li> <li>• 5310</li> <li>• 5311 including CMAQ and RSTP FTA transfer projects</li> <li>• 5316</li> <li>• 5317</li> <li>• 5337</li> <li>• 5339</li> </ul>	Various

\* Notate in the FTIP the “Use of TCs” in the project description for CMAQ and RSTP-funded projects.

TCs shall not be used if the non-federal matching requirement has already been met with other non-federal funds

\*\* <http://www.dot.ca.gov/hq/LocalPrograms/lam/LAPM/ch03.pdf>

## VIII. 2018 State Transportation Improvement Program (STIP)

The total project cost and all funding, including non-STIP funding, must be shown in the FTIP. (If a phase is programmed outside of the 2019 FTIP period, then the total project cost can be shown in the MPO comment section or in the project description field in CTIPS). When a STIP project is transferred from the STIP into the FTIP in CTIPS through the “CTIPS Transfer Mechanism,” right of way support and construction support costs are added to the corresponding capital costs.

MPOs may choose one of the following options for programming STIP projects:

- a) **Recommended Option:** Use the California Transportation Commission (CTC) adopted 2018 STIP.
- b) Use CTC staff recommendations.
- c) Use the county and interregional shares information from the Revised 2018 STIP Fund Estimate (FE).  
[http://www.dot.ca.gov/hq/transprog/ctcliaison/misc\\_OCTCL\\_Info/FINAL\\_2018\\_STIP\\_FE.pdf](http://www.dot.ca.gov/hq/transprog/ctcliaison/misc_OCTCL_Info/FINAL_2018_STIP_FE.pdf)  
For the first three years of the 2019 FTIP, program only existing projects from the 2016 STIP that are re-programmed in the 2018 STIP. Program new STIP projects, if any, in the fourth year of the 2019 FTIP. The total programmed STIP funding in 2019 FTIP must be constrained to the available STIP targets for the region per FE.
- d) Program only existing projects from the 2016 STIP that are to be re-programmed in the 2018 STIP.

Options b, c, and d, require the MPO to process an amendment to align the FTIP with the 2018 STIP once the CTC adopts the 2018 STIP. The FTIP amendment must be submitted to Caltrans by **October 1, 2018**.

Timeline:

- ✓ February 28, 2018 – CTC staff recommendations for the 2016 STIP projects are expected to be released.
- ✓ March 22, 2018 – CTC adoption of the 2018 STIP.
- ✓ Mid-April 2018 – The 2018 STIP will be available in CTIPS for transfer into the FTIPs.

Ensure projects are programmed using the appropriate “STIP Advance Construction - RIP/IIP” fund type.

Any non-STIP project funding (e.g. Road Repair and Accountability Act Funding, Proposition 1B, local funds) must be programmed consistent with the STIP funding details in CTIPS.

The screenshot displays the 'Fund Table Manager' web application in Google Chrome. The browser address bar shows the URL: <https://ctips-prod.dot.ca.gov/ctips/EditTypeFundForm.do>. The page has a red header bar with 'Edit Fund Type' and a blue header bar with 'Browse All Funds'. The main content area is divided into several sections:

- Fund Type Details:** Includes fields for 'Fund ID' (STIP-AC) and 'Fund Name' (STIP Advance Construction). There is a 'Blended Fund Type' section with a 'Match %' field (0.00) and a 'Match Fund' dropdown. A 'Type' section has radio buttons for 'Federal' (selected), 'State', and 'Local'. There are also checkboxes for 'Archived Fund Type' and 'State Highway Account'.
- Detailed Fund Description ('Huh?' Button):** A large text area for describing the fund type.
- Program Category(s) Containing this Fund Type:** A list of categories including IIP, RIP, IIP Prior, RIP Prior, GF IIP, GF IIP Prior, GF RIP, and GF RIP Prior. A 'Select Category to Add' dropdown and 'Add'/'Delete' buttons are present.
- MPO Filter - This Fund Type Applies to ...:** A grid of checkboxes for various MPOs, all of which are checked: AMBAG, BCAG, COFCG, KCOG, MCAG, MTC, SACOG, SBCAG, SCAG, SANDAG, Shasta, SJCOG, SLOCOG, STANCOG, TCAG, Kings, TRPA, Madera, and Rural Non-MPO. A 'Check All' button and a '?' button are at the bottom right of this section.

At the bottom of the form, there are buttons for 'Delete Fund Type', 'Add Fund Type', 'Top', 'Prior', 'Next', 'Bottom', and 'Exit'.



## IX. 2018 State Highway Operation and Protection Program (SHOPP)

For non-attainment areas, projects that are not exempt from air quality conformity determination must be listed individually in the FTIP. For attainment areas, projects that are not classified as Categorical Exclusion (CE) must be listed individually in the FTIP.

- Program all projects with “SHOPP Advance Construction (AC)” fund type.
- Verify in the financial summary that the total revenue is equal to the total programmed.

MPOs are responsible for determining if a project can be classified as non-exempt or CE. Contact the District FTIP Coordinator if more information, such as a detailed project scope, is needed to make that determination.

### Timeline:

- ✓ January 31, 2018 – Caltrans to submit proposed 2018 SHOPP to the CTC.
- ✓ April 1, 2018 – CTC adoption of the 2018 SHOPP.
- ✓ July 1, 2018 – The 2018 SHOPP will be available in CTIPS for transfer into the FTIPs.
- ✓ After July 1, 2018 – Caltrans Programming will provide the SHOPP Grouped Project Reports.

The screenshot displays the 'Fund Table Manager' web application in Google Chrome. The browser address bar shows the URL: <https://ctips-prod.dot.ca.gov/ctips/EditTypeFundForm.do>. The page has a red header bar with 'Edit Fund Type' and a blue header bar with 'Browse All Funds'. The main content area is divided into several sections:

- Fund Type Details:** Includes fields for 'Fund ID' (SHOPPAC) and 'Fund Name' (SHOPP Advance Construction (AC)). There is a 'Type' section with radio buttons for Federal, State, and Local. A 'Blended Fund Type' section includes a 'Match %' field (0.00) and a 'Match Fund' dropdown. There are checkboxes for 'Archived Fund Type' and 'State Highway Account'.
- Detailed Fund Description ('Huh?' Button):** A text area containing the description: 'SHOPP funding shall be programmed with 100% "SHOPP Advance Construction (AC)" fund type.'
- Program Category(s) Containing this Fund Type:** A list of categories with a 'Select Category to Add' dropdown and 'Add' and 'Delete' buttons. The categories listed include: SHOPP - Bridge Preservation, SHOPP - Collision Reduction, SHOPP - Emergency Response, SHOPP - Mandates, SHOPP - Mobility, SHOPP - Roadside Preservation, SHOPP - Roadway Preservation, and CT Minor Pgm.
- MPO Filter - This Fund Type Applies to ...:** A grid of checkboxes for various MPOs, all of which are checked: AMBAG, BCAG, COFCG, KCOG, MCAG, MTC, SACOG, SBCAG, SCAG, SANDAG, Shasta, SJCOC, SLOCOG, STANCOG, TCAG, Kings, TRPA, Madera, and Rural Non-MPO. There is a 'Check All' button and a '?' button.

At the bottom of the form, there are buttons for 'Delete Fund Type', 'Add Fund Type', 'Top', 'Prior', 'Next', 'Bottom', and 'Exit'.

## **X. Various State and Federal Programs**

Programming information for various federal-aid programs is posted here:

[http://www.dot.ca.gov/hq/transprog/federal/var\\_fed\\_state\\_prog.htm](http://www.dot.ca.gov/hq/transprog/federal/var_fed_state_prog.htm)

## **XI. California Transportation Improvement System (CTIPS)**

Draft FTIP Module - User's Guide is available here:

[http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res\\_publications/draft-ftip-users032612.pdf](http://www.dot.ca.gov/hq/transprog/federal/fedfiles/res_publications/draft-ftip-users032612.pdf)